

Please type a plus sign (+) inside this box → ☐

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

RPTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

2814#4
BT
03-14-02

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/877,640	
	Filing Date	June 8, 2001	
	First Named Inventor	John Stephen Smith	
	Group Art Unit	Unassigned	
	Examiner Name	Unassigned	
Total Number of Pages in This Submission	1	Attorney Docket Number	18062R002132

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): One Hundred Twelve (112) cited ref's Return receipt postcard
Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430. Total number of pages <u>does not</u> include cited references.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm and Individual name	Townsend and Townsend and Crew LLP Stephen Y. Pang Reg No. 38,575	
Signature		
Date	7/18/01	

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 7/18/01			
Typed or printed name	Chris Fitting		
Signature		Date	7/19/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. PA 3158035 v1



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT
Attorney Docket No.: 18062R002132US

Assistant Commissioner for Patents
Washington, D.C. 20231

On July 18, 2001

TOWNSEND and TOWNSEND and CREW LLP

By: Ch. Felt

RECEIVED
JUL 25 2001
TC 2000 MAIL ROOM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

John Stephen Smith

Application No.: 09/877,640

Filed: June 8, 2001

For: METHOD AND APPARATUS FOR
FABRICATING SELF-ASSEMBLING
MICROSTRUCTURES

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The references cited on attached form PTO/SB/08A/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references can be found in Application Nos. 09/097,599, filed 6/15/98 (Attorney Docket No. 18062R-002131US); 08/480,500, filed 6/7/95, issued as US Patent 5,904,545 on June 7, 1995 (Attorney Docket No. 18062R-002130US); 08/169,298, filed 12/17/93, issued as US Patent 5,545,291 on August 13, 1996 (Attorney Docket No. 18062R-002100US); 08/485,478, filed 6/7/95, issued as US Patent 5,824,186 on October 20, 1998 (Attorney Docket No. 18062R-002110US); and 08/437,540, filed 5/9/95, issued as US Patent 5,783,856 on July 21, 1998, with the exception of

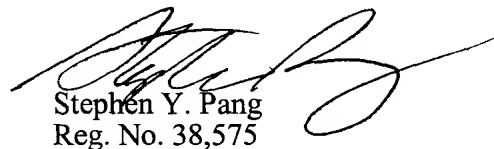
reference numbers 3-6, 12, 14, 17, 19-20, 22-24, 26-40, 44-58, 60-61, 63-82, 84, 86-95, 97-131, and 134-135, copies of which are enclosed.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information, and no inference should be made that the information and references cited are, or are considered to be material to patentability because they are in this statement. No inference should be made that the information and references cited are prior art merely because they are in this statement.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,


Stephen Y. Pang
Reg. No. 38,575

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
Tel: 650-326-2400
Fax: 650-326-2422
SYP:crf

Please type a plus sign (+) inside this box

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

Complete if Known

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

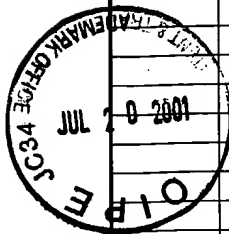
(use as many sheets as necessary)

Sheet 1 of 3

Application Number	09/877,640
Filing Date	06/08/2001
First Named Inventor	Smith, John
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	18062R002132

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	1	5,545,291		Smith et al.	08-13-1996	
	2	5,376,176		Kuriyama	12-27-1994	
	3	5,355,577		Cohn	10-18-1994	
	4	5,258,325		Spitzer et al.	11-02-1993	
	5	5,232,511		Bergman	08-03-1993	
	6	5,155,895		Jakiela et al.	10-20-1992	
	7	5,091,045		Froning et al.	02-25-1992	
	8	5,075,253		Sliwa, Jr.	12-24-1991	
	9	5,063,177		Geller et al.	11-05-1991	
	10	5,034,802		Liebes, Jr. et al.	07-23-1991	
	11	4,990,462		Sliwa, Jr.	02-05-1991	
	12	4,980,017		Kaji et al.	12-25-1990	
	13	4,975,143		Drake et al.	12-04-1990	
	14	4,971,920		Miyashita et al.	11-20-1990	
	15	4,962,441		Collins	10-09-1990	
	16	4,949,148		Bartelink	08-14-1990	
	17	4,917,123		McConnell et al.	04-17-1990	
	18	4,907,062		Fukushima	03-06-1990	
	19	4,883,300		Akagawa	11-28-1989	
	20	4,858,072		Chall, Jr.	08-15-1989	
	21	4,843,035		Takashima	06-27-1989	
	22	4,826,605		Doble et al.	05-02-1989	
	23	4,818,728		Rai et al.	04-04-1989	
	24	4,811,081		Lyden	03-07-1989	
	25	4,802,951		Clark et al.	02-07-1989	
	26	4,796,191		Honey et al.	01-03-1989	
	27	4,795,497		McConnell et al.	01-03-1989	
	28	4,782,447		Ueno et al.	11-01-1988	
	29	4,751,512		Longaker	06-14-1988	
	30	4,733,632		Ohmi et al.	03-29-1988	
	31	4,733,462		Kawatani	03-29-1988	
	32	4,724,510		Wicker et al.	02-09-1988	
	33	4,710,261		Dennis	12-01-1987	
	34	4,709,468		Wilson	12-01-1987	
	35	4,698,663		Sugimoto et al.	10-06-1987	
	36	4,690,391		Stoffel et al.	09-01-1987	
	37	4,670,981		Kubota et al.	06-09-1987	
	38	4,670,770		Tai	06-02-1987	
	39	4,668,333		Tandon et al.	05-26-1987	
	40	4,659,429		Isaacson et al.	04-21-1987	
	41	4,600,936		Khoury et al.	07-15-1986	
	42	4,554,611		Lewin	11-19-1985	
	43	4,542,397		Biegelsen et al.	09-17-1985	
	44	4,528,747		Hoffman et al.	07-16-1985	
	45	4,502,094		Lewin et al.	02-26-1985	
	46	4,496,419		Nulman et al.	01-29-1985	
	47	4,480,284		Tojo et al.	10-30-1984	



48	4,479,849	Frantzen	10-30-1984
49	4,466,181	Takishima	08-21-1984
50	4,395,165	DeRobertis et al.	07-26-1983
51	4,384,918	Abe	05-24-1983
52	4,372,805	Takahashi et al.	02-08-1983
53	4,322,737	Sliwa, Jr.	03-30-1982
54	4,289,594	Alpaugh et al.	09-15-1981
55	4,278,897	Ohno et al.	07-14-1981
56	4,253,280	Du Bois et al.	03-03-1981
57	4,242,157	Gehle	12-30-1980
58	4,242,038	Santini et al.	12-30-1980
59	4,194,668	Akyurek	03-25-1980
60	4,170,021	Du Bois et al.	10-02-1979
61	4,154,998	Luft et al.	05-15-1979
62	4,111,294	Carpenter et al.	09-05-1978
63	4,103,073	McAlear et al.	07-25-1978
64	4,103,064	McAlear et al.	07-25-1978
65	4,062,462	Hentz et al.	12-13-1977
66	4,018,373	Beerwerth et al.	04-19-1977
67	4,017,343	Haas	04-12-1977
68	3,992,236	Wanesky	11-16-1976
69	3,982,627	Isohata	09-28-1976
70	3,977,071	Jarman	08-31-1976
71	3,973,987	Hewitt et al.	08-10-1976
72	3,961,415	Davis, Jr.	06-08-1976
73	3,961,400	Schmid	06/08-1976
74	3,930,295	Rose	01-06-1976
75	3,903,590	Yokogawa	09-09-1975
76	3,896,536	Keller et al.	07-29-1975
77	3,870,850	Larionov et al.	03-11-1975
78	3,869,787	Umbaugh	03-11-1975
79	3,843,756	Talbott et al.	10-22-1974
80	3,781,975	Ressel et al.	01-01-1974
81	3,776,394	Ressel et al.	01-01-1974
82	3,772,105	Shipley	11-13-1973
83	3,756,872	Goodman	09-04-1973
84	3,736,651	Law et al.	06-05-1973
85	3,725,160	Bean et al.	04-03-1973
86	3,717,801	Silverberg	02-20-1973
87	3,717,381	R. G. Hagler	02-20-1973
88	3,714,700	Ehrenfellner	02-06-1973
89	3,683,105	Shamash et al.	08-08-1972
90	3,695,502	Gaiser	10-03-1972
91	3,614,740	Delagi	10-19-1971
92	3,582,730	Teston	06-01-1971
93	3,539,468	Wright	11-10-1970
94	3,521,128	Oates	07-21-1970
95	3,414,962	Altamura	12-10-1968
96	3,439,416	Yando	04-22-1969
97	3,399,466	Hartley	09-03-1968
98	3,369,290	Mayer et al.	02-20-1968
99	3,330,252	Oberg	07-11-1967
100	3,301,716	Kleinknecht	01-31-1967
101	3,197,682	Klass et al.	07-27-1965
102	3,083,129	Jones et al.	03-26-1963
103	3,080,841	De Nobel	03-12-1963
104	2,505,927	Woodring	05-02-1950
105	1,375,988	Walker	04-26-1921
106	1,373,812	Heath	04-05-1921
107	823,955	Meredith	06-19-1906



FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	108	EP	747 948	A2, A3		12-11-1996		
	109	EP	417 851	B1		01-17-1996		
	110	EP	201 240	A1		11-12-1986		
	111	EP	154 431	B1		08-16-1989		
	112	EP	149 317	A2		07-24-1985		
	113	EP	110 285	A2		06-13-1984		
	114	EP	054 899	B1		10-24-1984		
	115	WO	95/17005	A1		06-22-1995		
	116	WO	94/02395	A1		02-03-1994		
	117	WO	79/00510	A1		03-22-1979		
	118	GB	2144907	A		03-13-1985		
	119	GB	816285			07-08-1959		
	120	FR	2572849	A1		05-09-1986		abst. only
	121	DE	2704373	A1		08-18-1977		abst. only
	122	JP	63-102738	A		05-07-1988		
	123	JP	63-028417			02-06-1988		abst. only
	124	JP	61-054217			03-18-1986		abst. only
	125	JP	0639124			01-14-1988		
	126	JP	60-71012			04-22-1985		abst. only
	127	JP	60-017332			01-29-1985		abst. only
	128	JP	60-168574			09-02-1985		
	129	JP	56-107563			08-26-1981		abst. only
	130	JP	53-132495	A		11-18-1978		abst. only
	131	JP	3-102738			04-30-1991		abst. only

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.





Please type a plus sign (+) inside this box →



PTO/SB/08B (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	09/877,640
Filing Date	06/08/2001
First Named Inventor	Smith, John
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	18062R002132

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	132	COHN et al., "Self-Assembling Electrical Networks: An Application of Micromachining Technology," <u>Proceedings of the Int. Conf. on Solid State Sensors and Actuators</u> , San Francisco, CA, 6/24-27/91, pages 490-493 (1991).	
	133	HUANG et al., "electrode design for negative dielectrophoresis," <u>Meas. Sci. Technol.</u> , 2:1142-1146 (1991).	
	134	YEH et al., "Fluidic Self-Assembly of Microstructures and its Application to the Integration of GaAs on Si," <u>Proceedings of Workshop on Micro Electro Mechanical Systems</u> , 1/25-28/94, Workshop # 7, pages 279-284 (1994).	
	135	YEH et al., "Fluidic Self-Assembly for the Integration of GaAs Light-Emitting Diodes on Si Substrates," <u>IEEE Photonics Technology Letters</u> , 6(6):706-708 (1994).	

Examiner
Signature

Date
Considered

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
PA 3153328 v1